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Date: December 7, 2004 Name: James L. Katz, Reg. No. 42,711 Signature:

BRINKS  
HOFER  
GILSON  
& LIONE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of: Brady et al.

Appln. No.: 10/726,851

Filed: December 2, 2003

For: METHOD AND SYSTEM FOR PROVIDING  
OPTION SPREAD INDICATIVE QUOTES

Attorney Docket No: 4672/369

Examiner: Not yet assigned

Art Unit: 3624

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

TRANSMITTAL

Sir:

Attached is/are:

- ☒ Change of Correspondence Address Document; Copy of previously submitted Power of Attorney Document.
- ☒ Return Receipt Postcard

Fee calculation:

- ☒ No additional fee is required.
- ☐ Small Entity.
- ☐ An extension fee in an amount of \$\_\_\_\_\_ for a \_\_\_\_\_-month extension of time under 37 C.F.R. § 1.136(a).
- ☐ A petition or processing fee in an amount of \$\_\_\_\_\_ under 37 C.F.R. § 1.17(\_\_\_\_\_).
- ☐ An additional filing fee has been calculated as shown below:

					Small Entity			Not a Small Entity	
	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra	Rate	Add'l Fee	or	Rate	Add'l Fee
Total		Minus			x \$9=			x \$18=	
Indep.		Minus			x 43=			x \$86=	
First Presentation of Multiple Dep. Claim					+\$145=			+\$290=	
					Total	\$		Total	\$

Fee payment:

- ☐ A check in the amount of \$\_\_\_\_\_ is enclosed.
- ☐ Please charge Deposit Account No. 23-1925 in the amount of \$\_\_\_\_\_. A copy of this Transmittal is enclosed for this purpose.
- ☐ Payment by credit card in the amount of \$\_\_\_\_\_ (Form PTO-2038 is attached).
- ☒ The Director is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this paper (including any extension fee required to ensure that this paper is timely filed), or to credit any overpayment, to Deposit Account No. 23-1925.

Date

12/7/04

Respectfully submitted,

James L. Katz (Reg. No. 42,711)



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PTO/SB/122 (10-01)  
Approved for use through 10/31/2002. OMB 0551-0035  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

## CHANGE OF CORRESPONDENCE ADDRESS Application

Address to:  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Application Number	10/726,851
Filing Date	December 2, 2003
First Named Inventor	Neal Brady
Art Unit	3624
Examiner Name	Not yet assigned
Attorney Docket Number	4672/369

Please change the Correspondence Address for the above identified application to:

☒ Customer Number 00757 - Brinks Hofer Gilson Lione  
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I am the

- ☐ Applicant/Inventor
- ☐ Assignee of record of the entire interest.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).
- ☒ Attorney or Agent of record (copy of Power of Attorney attached).
- ☐ Registered practitioner named in the application transmittal letter in an application without an executed oath or declaration. See 37 CFR 1.33(a)(1). Registration Number

Typed or Printed

Name James L. Katz, Reg. No. 42,711

Signature

Date

12/7/04

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.\*

☒ \*Total of 1 forms are submitted.

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Inventor(s):

Brady et al.

Title:

METHOD AND SYSTEM FOR PROVIDING OPTION SPREAD INDICATIVE QUOTES

## POWER OF ATTORNEY

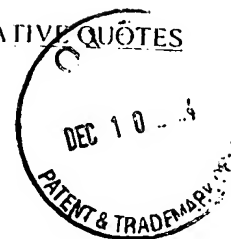
The specification of the above-identified patent application:



is attached hereto



was filed on December 2, 2003 as application Serial No. 10/726,851



I hereby revoke all previously granted powers of attorney in the above-identified patent application and appoint the following attorneys to prosecute said patent application and to transact all business in the Patent and Trademark Office connected therewith:

Henry L. Brinks	(17,013)	Dominic P. Zanfardino	(36,068)	Jonathan P. Taylor, Ph.D.	(48,338)
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Michael E. Milz	(34,880)	Dewayne Hughes	(46,783)	Samuel E. Shehadeh	(52,215)
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Robert S. Mallin	(35,596)	Anastasia Heffner	(47,638)	Sid Bennett	(53,981)
		Carmen Matos Michael	(47,793)	Scott W. Brim	(51,500)
		Gregory H. Zayia, Ph.D.	(48,059)		

Please address all correspondence and telephone calls to James L. Katz in care of:

Brinks Hofer Gilson & Lione  
P.O. Box 10395  
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(312)321-4200

The undersigned hereby authorizes the U.S. attorneys named herein to accept and follow instructions from Matthew J. Kelly as to any action to be taken in the Patent and Trademark Office regarding this application without direct communication between the U.S. attorney and the undersigned. In the event of a change in the persons from whom instructions may be taken, the U.S. attorneys named herein will be so notified by the undersigned.

Chicago Mercantile Exchange, Inc., a Delaware Corporation, certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of either:

☐ An assignment from the inventor(s) of the patent application identified above, a copy of which is attached hereto.  
OR

☐ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, frame \_\_\_\_\_.  
OR

☒ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From Brady et al. To: Liquidity Direct Technology, LLC  
The document was submitted to the Patent and Trademark Office on January 8, 2004,  
a copy thereof is attached.

2. From Liquidity Direct Technology, LLC To: Chicago Mercantile Exchange, Inc.  
The document attached hereto for recordation in the Patent and Trademark Office

☐ Additional documents in the chain of title are listed on a supplemental sheet.

The undersigned has reviewed the assignment or all the documents in the chain of title of the patent application identified above and, to the best of undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature

Matthew J. Kelly

Date: 4-30-04

Name:

Matthew J. Kelly

Title:

Chief Intellectual Property Counsel

